



FORM PTO-1449 U.S. DEPARTMENT OF COMMERCE  
(MODIFIED) PATENT AND TRADEMARK OFFICE

INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT  
(Use several sheets if necessary)

(37 C.F.R. § 1.98(b))

ATTY. DOCKET NO.  
53087-5007

SERIAL NO.  
09/842,269

APPLICANT  
Carl A. Gunter

FILING DATE  
April 25, 2001

GROUP

RECEIVED  
JAN 28 2002  
Technology Center 2000

U.S. PATENT DOCUMENTS

EXAMINER INITIAL		PATENT NUMBER							ISSUE DATE	PATENTEE	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
NN	A	6	2	1	6	1	1	6	04/10/01	Barkan, et al.	705	76	
NN	B	5	6	5	9	6	1	6	08/19/97	Sudia	380	23	
NN	C	5	9	0	3	8	8	2	05/11/99	Asay et al.	705	44	
NN	D	5	9	4	3	4	2	3	08/24/99	Muftic	380	25	
NN	E	5	9	7	8	4	8	4	11/02/99	Apperson et al.	380	25	
NN	F	5	9	6	0	0	8	5	09/28/99	De la Hueraga	380	25	
NN	G	6	0	0	3	0	1	4	12/14/99	Lee et al.	705	13	
NN	H	5	9	0	1	2	8	4	05/04/99	Hamdy-Swink	395	186	
NN	I	5	8	7	2	8	4	8	02/16/99	Romney et al.	380	25	
NN	J	5	7	8	4	4	6	3	07/21/98	Chen et al.	380	21	
NN	K	5	7	6	1	3	0	9	06/02/98	Ohashi et al.	380	25	

FOREIGN PATENT OR PUBLISHED FOREIGN PATENT APPLICATION

		DOCUMENT NUMBER							PUBLICATION DATE	COUNTRY OR PATENT OFFICE	CLASS	SUBCLASS	TRANSLATION	
													YES	NO

OTHER DOCUMENTS (Including Author, Title, Date, Relevant Pages, Place of Publication)

NN	L	Blaze, et al., "THE KEYNOTE TRUST-MANAGEMENT SYSTEM VERSION 2", Internet Society, September 1999, pp. 1-32.
NN	M	Gunter, et al., "POLICY-DIRECTED CERTIFICATE RETRIEVAL", Software-Practice & Experience, September 21, 2000, Vol. 30, pp. 1609-1640.
NN	N	Gunter, et al., "GENERALIZED CERTIFICATE REVOCATION", ACM Symposium On Principles Of Programming Languages, January 2000, pp. 1-14.

EXAMINER

DATE CONSIDERED

12/24/03



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Technology Center 2100

### U.S. PATENT DOCUMENTS

EXAMINER INITIAL		PATENT NUMBER								ISSUE DATE	PATENTEE	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
NN	O	5	7	5	7	9	2	0		05/26/98	Misra et al.	380	25	
NN	P	5	7	5	4	6	5	4		05/19/98	Hiroya et al.	380	24	
NN	Q	5	6	9	4	4	7	1		12/02/97	Chen et al.	380	25	
NN	R	5	4	1	2	7	1	7		05/02/95	Fischer	380	4	
NN	S	5	3	3	9	4	0	3		08/16/94	Parker	395	425	
NN	T	5	2	6	1	0	0	2		11/09/93	Perlman et al.	380	30	
NN	U	5	3	1	5	6	5	7		05/24/94	Abadi et al.	380	25	
NN	V	5	2	1	4	7	0	2		05/25/93	Fischer	380	30	
NN	W	4	8	6	8	8	7	7		09/19/89	Fischer	380	25	
NN	X	4	8	1	6	6	5	5		03/28/89	Musyck et al.	235	380	
NN	Y	5	6	1	5	2	6	8		03/25/97	Bisbee et al.	380	25	

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														YES	NO

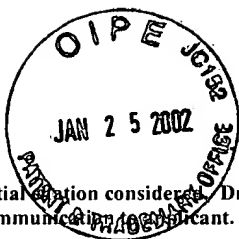
### OTHER DOCUMENTS (Including Author, Title, Date, Relevant Pages, Place of Publication)

NN	Z	Kakkar, et al., "CERTIFICATE DISTRIBUTION WITH LOCAL AUTONOMY", International Workshop on Active Networks, October 2000, pp. 1-19.
NN	AA	Blaze, et al., "DECENTRALIZED TRUST MANAGEMENT", Proc. IEEE Conference on Security and Privacy, May 1996, pp. 1-23
NN	BB	Herzberg, et al., "ACCESS CONTROL MEETS PUBLIC KEY INFRASTRUCTURE, OR: ASSIGNING ROLES TO STRANGERS", pp. 1-13. No Date

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EXAMINER INITIAL		PATENT NUMBER							ISSUE DATE	PATENTEE	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
NN	CC	5	5	4	2	0	4	6	07/30/96	Carlson et al.	395	186	
NN	DD	5	4	7	5	7	5	8	12/12/95	Kikuchi	380	25	
NN	EE	5	4	5	5	9	5	3	10/03/95	Russell	395	739	
NN	FF	5	4	1	2	7	2	7	05/02/95	Drexler et al.	380	24	
NN	GG	6	1	3	8	2	3	5	10/24/00	Lipkin, et al.	713	155	

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													YES	NO

### OTHER DOCUMENTS (Including Author, Title, Date, Relevant Pages, Place of Publication)

NN	HH	Rivest, et al., "SDSI - A SIMPLE DISTRIBUTED SECURITY INFRASTRUCTURE", April 30, 1996, pp. 1-37.
NN	II	C. Ellison, "SPKI REQUIREMENTS", The Internet Society, September 1999, pp. 1-14.
NN	JJ	Ellison, et al., "SPKI CERTIFICATE THEORY", The Internet Society, September 1999, pp. 1-43.

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12/24/03









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SERIAL NO.  
09/842,269

APPLICANT  
Gunter et al.

FILING DATE  
April 25, 2001

**GROUP**

[illegible]

~~MAY 14 2003~~

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		DOCUMENT NUMBER							PUBLICATION DATE	COUNTRY OR PATENT OFFICE	CLASS	SUBCLASS	TRANSLATION	
													YES	NO


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Page 1 of 1

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FORM PTO-1449 U.S. DEPARTMENT OF COMMERCE  
 (MODIFIED) PATENT AND TRADEMARK OFFICE

ATTY. DOCKET NO. 053087-5007  
 SERIAL NO. 09/842,269

INFORMATION DISCLOSURE  
 STATEMENT BY APPLICANT  
 (Use several sheets if necessary)

APPLICANT  
 Gunter et al.

(37 C.F.R. § 1.98(b))

FILING DATE April 25, 2001  
 GROUP

U.S. PATENT DOCUMENTS

EXAMINER INITIAL		PATENT NUMBER							ISSUE DATE	PATENTEE	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
NN	A	6	2	1	2	6	3	4	04/03/01	Greer, Jr et al			
NN	B	5	5	3	0	2	3	5	06/25/96	Stefik et al.			
NN	C	6	4	4	6	2	5	3	09/03/02	Mellmer			
NN	D	5	5	8	3	9	9	3	12/10/96	Foster et al.			
NN	E	6	3	9	3	5	6	5	05/21/02	Lockhart et al.			
NN	F	6	4	3	8	6	0	0	08/20/02	Greenfield et al.			
NN	G	5	5	7	7	1	2	0	11/19/96	Penzias			
NN	H	5	2	2	0	6	0	4	06/15/93	Gasser et al.			
NN	I	6	2	8	2	1	8	3	08/28/01	Harris et al.			
NN	J	0	0	0	7	3	1	7	01/17/02	Callagahn et al.			
NN	K	0	1	2	8	9	0	3	09/12/02	Kernahan			
NN	L	0	0	3	2	6	2	6	03/14/02	DeWolf et al.			

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													YES	NO

OTHER DOCUMENTS (Including Author, Title, Date, Relevant Pages, Place of Publication)

NN	M		Tuomas Aura, "Distributed Access-Rights Management With Delegation Certificates", Secure Internet Programming (LNCS), 1999 Springer-Verlag, pp. 1-25.

EXAMINER *[Signature]*

DATE CONSIDERED 12/24/03

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Substitute for form 1449B/PTO

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

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(use as many sheets as necessary)

Sheet	1	of	1
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**Complete if Known**

Application Number	09/842,269
Filing Date	04/25/01
First Named Inventor	GURGER
Group Art Unit	2131
Examiner Name	
Attorney Docket Number	53087-5007

**OTHER PRIOR ART – NON PATENT LITERATURE DOCUMENTS**

Examiner Initials	Cite No. 1	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T2
NN	A	MICROSOFT .NET PASSPORT REVIEW GUIDE, "THE WAY, WHAT AND HOW OF MICROSOFT .NET PASSPORT", Published: March 2002, pp. 1-50.	
NN	B	.NET PASSPORT OVERVIEW: 13/ http://www.microsoft.com/my services/passport/overview.asp, pp. 1-7 21/ http://www.microsoft.com/my services/passport/overview.asp, pp. 1 No date	

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<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached.

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